

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Norman Robert Russell

Confirmation No.: Not yet known

Application No.: Not yet known

Examiner: Not yet known

Filing Date: 12/29/2003

Group Art Unit: Not yet known

Title: DATABASE MODEL SYSTEM AND METHOD

COMMISSIONER FOR PATENTS

Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
☐ a petition under 37 CFR 1.97(d)(2), and  
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EV323269434US

Date of Deposit 12/29/2003

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

By 

Typed Name: Arnold M. de Guzman

Respectfully submitted,

Norman Robert Russell

By 

Arnold M. de Guzman

Attorney/Agent for Applicant(s)

Reg. No. 39,955

Date: 12/29/2003

# PATENT APPLICATION

Sheet 1 of 2

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	<b>ATTY. DOCKET NO.</b> <b>10003891-4</b>	<b>APPLICATION NO.</b> not yet known	<b>CONFIRMATION NO.</b> not yet known
<b>APPLICANT</b> <b>Norman Robert Russ II</b>			
<b>FILING DATE</b> <b>12/29/2003</b>		<b>GROUP</b> not yet known	

## REFERENCE DESIGNATION      U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	5,615,367	03/25/1997	Bennett, et al.	
	1B	5,734,887	03/31/1998	Kingberg, et al.	
	1C	5,832,498	11/03/1998	F. Exertier	
	1D	5,974,407	10/26/1999	J. Sacks	
	1E	6,112,209	08/29/2000	M. Gusack	
	1F	6,192,371 B1	02/20/2001	T. Schultz	
	1G	6,252,956 B1	06/06/2001	T. Karino	
	1H	6,263,341 B1	07/17/2001	P. Smiley	
	1I	6,324,541 B1	11/27/2001	de l'Etraz, et al.	
	1J	6,366,917 B1	04/02/2002	St. John Herbert, III	
	1K	6,480,857 B1	11/12/2002	D. Chandler	

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L	EP0583108 A2	02/16/1994	Automated Technology		
	1M	DE19914454 A1	10/05/2000	Marcus Dingreiter		
	1N					
	1O					
	1P					

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)

	1Q	"Data Model Patterns: Convention of Thought" by David C. Hay, © 1996, ISBN: 0-932633-29-3, Dorset House Publishing, New York, NY
	1R	"Webcon: Design and Modeling of Database Driven Hypertext Applications" by U. Sommer, et al., [webpages] [online], [retrieved on 12/08/2003]. Retrieved from the internet: < http://www.computer.org/proceedings/hicss/0001/00016/00016022.PDF> . Total pages: 8
	1S	"Integration of Heterogenous S mstructured Data Models in the Canonical On " by L. A. Kalinichenko, et al., webpages [online], [retrieved on 12/08/2003]. Retrieved from the internet: < http://www.dl99.nw.ru/PDF/01.pdf> . Total pages: 13

EXAMINER

DATE CONSIDERED

**PATENT APPLICATION**

Sheet 2 of 2

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
	<b>10003891-4</b>	not yet known	not yet known
	APPLICANT		
	<b>Norman Robert Russell</b>		
	FILING DATE	GROUP	
	<b>12/29/2003</b>	not yet known	

**REFERENCE DESIGNATION U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	2A	6,493,689 B2	12/10/2002	Colby, et al.	
	2B	6,493,717 B1	12/10/2002	J. Junkin	

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached

**OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)**

	2Q	"The Hybrid Object-Relational Architecture (HORA) - An Integration of Object-Oriented and Relational Technology" by J. Sutherland, et al. © 1993, ACM 0-39791-568-2/93/0002/0326, pages 326-333.
	2R	"Suitability of data models as canonical models for federated databases" by F. Saltor, et al., SIGMOD Record (ACM Special Interest Group on Management of Data), Volume 20, Number 4, December, 1991

EXAMINER	DATE CONSIDERED
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